

How to Navigate the ORI Annual Report System Handbook

The screenshot shows the ORI Office of Research Integrity website. The header includes the ORI logo and the text "Office of Research Integrity" and "U.S. Department of Health and Human Services". A navigation bar contains links: HOME, ABOUT ORI, SEARCH, PRIVACY, FOIA, SITE MAP, and CONTACT ORI. The main content area is titled "Assurance - Annual Report System" and states: "This system will allow you to:" followed by a list of bullet points: "Submit 2005 Annual Report on Possible Research Misconduct", "Review/Update Institutional Information", and "Manage your Institution's password". Below this, it says: "» Instructions - *How to Navigate the ORI Annual Report System Handbook* - a step-by-step PDF guide on using the ORI Annual Report System, [Click here](#)." and "» Access the Annual Report System, [Click here](#)." The left sidebar has a "Sections" menu with links: About ORI, Assurance, Conferences, Handling Misconduct, International, Policies / Regulations, Publications, RCR Education, Research, and RIOs. Below that is the "ORI Newsletter" section, showing the "Latest Newsletter (PDF) December 2005" and a thumbnail image of the newsletter cover, with a link for "Past Issues...". The right sidebar has an "Assurance" menu with links: Introduction, Access Annual Report System, Small Organization Statement, Foreign Institution Statement, Review Institutional Policy, Review Institutional Compliance, Retaliation Complaints, Administrative Actions, and Agreements.

URL: http://ori.hhs.gov/assurance/electronic_submission.shtml

Please contact me if you have any problems.

Thank you for your cooperation.

Randi M. Freedman
Assurance Program Manager
U.S. Office of Public Health and Science
Office of Research Integrity,
1101 Wootton Parkway, Suite 750
Rockville, MD 20852
Phone: (240) 453-8402
FAX: (301) 594-0042

Table of Contents

Part 1:	Logging into the Annual Report System	3
Part 2:	Review/Update Institutional Information	8
	Making changes to your institution's information	11
Part 3:	Submitting the 2005 Annual Report	15
	If No misconduct	15
	If misconduct	22
Part 4:	Printing the 2005 Annual Report	26
Part 5:	What to do if you have forgotten the User ID/Password	29
Part 6:	Logging out of the Annual Report System	33

Part 1 ➔ Logging into the Annual Report System

Step 1: From the Assurance Program - Annual Report System homepage
(http://ori.hhs.gov/assurance/electronic_submission.shtml) (Figure 1) select "To access the Annual Report System, **Click here.**"

The screenshot displays the ORI Office of Research Integrity website. The header features the ORI logo and the text "Office of Research Integrity" and "US Department of Health and Human Services". A navigation bar includes links for HOME, ABOUT ORI, SEARCH, PRIVACY, FOIA, SITE MAP, and CONTACT ORI. The main content area is titled "Assurance - Annual Report System" and lists the following options:

- ◆ Submit 2005 Annual Report on Possible Research Misconduct
- ◆ Review/Update Institutional Information
- ◆ Manage your Institution's password

Below these options, there is a link to "Instructions - *How to Navigate the ORI Annual Report System Handbook* - a step-by-step PDF guide on using the ORI Annual Report System, [Click here.](#)" and another link to "Access the Annual Report System, [Click here.](#)"

On the left side, there is a "Sections" menu with links to About ORI, Assurance, Conferences, Handling Misconduct, International, Policies / Regulations, Publications, RCR Education, Research, and RIOs. Below this is the "ORI Newsletter" section, which includes a link to the "Latest Newsletter (PDF) December 2005" and a link to "Past Issues...".

On the right side, there is an "Assurance" menu with links to Introduction, Access Annual Report System, Small Organization Statement, Foreign Institution Statement, Review Institutional Policy, Review Institutional Compliance, Retaliation Complaints, Administrative Actions, and Agreements.

Figure 1

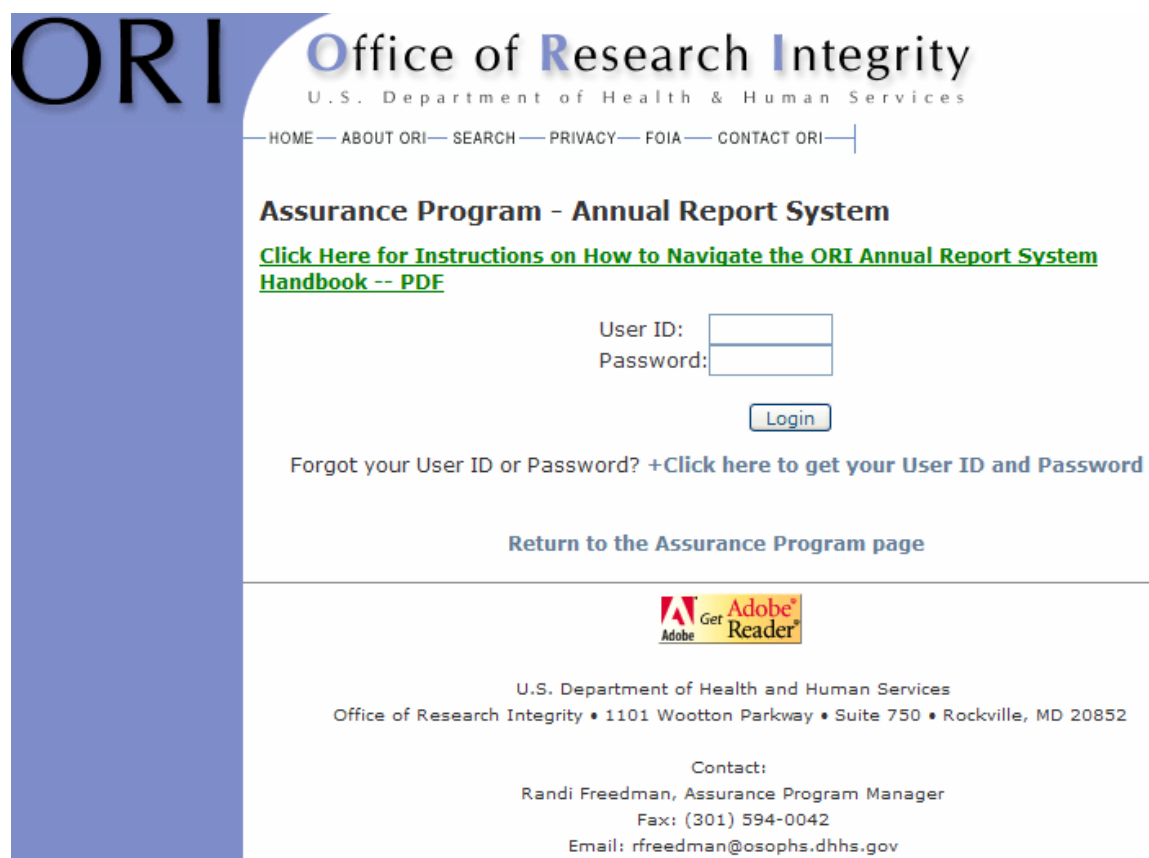
Part 1 ➔ Logging into the Annual Report System

Result: Assurance Program – Annual Report System login screen appears (Figure 2)

Step 2: Enter your institution's User ID (Institutional Profile Number, i.e. IPF number)

NOTE: If this is **NOT** your first time logging into the Annual Report System, and you have forgotten your User ID and/or password go to **PAGE 29** of this handbook.

Step 3: Enter your institution's Password (IPF Number).



The screenshot shows the login page for the ORI Assurance Program - Annual Report System. The page has a blue header with the ORI logo and the text "Office of Research Integrity" and "U.S. Department of Health & Human Services". Below the header is a navigation bar with links: HOME, ABOUT ORI, SEARCH, PRIVACY, FOIA, and CONTACT ORI. The main content area is titled "Assurance Program - Annual Report System" and includes a link: "Click Here for Instructions on How to Navigate the ORI Annual Report System Handbook -- PDF". There are two input fields for "User ID:" and "Password:", followed by a "Login" button. Below the login button is a link: "Forgot your User ID or Password? +Click here to get your User ID and Password". At the bottom of the main content area is a link: "Return to the Assurance Program page". The footer contains the Adobe Reader logo, the U.S. Department of Health and Human Services address, and contact information for Randi Freedman, Assurance Program Manager.

ORI Office of Research Integrity
U.S. Department of Health & Human Services

HOME — ABOUT ORI — SEARCH — PRIVACY — FOIA — CONTACT ORI —

Assurance Program - Annual Report System

[Click Here for Instructions on How to Navigate the ORI Annual Report System Handbook -- PDF](#)

User ID:

Password:

Login

Forgot your User ID or Password? [+Click here to get your User ID and Password](#)

[Return to the Assurance Program page](#)

Adobe Get Adobe Reader

U.S. Department of Health and Human Services
Office of Research Integrity • 1101 Wootton Parkway • Suite 750 • Rockville, MD 20852

Contact:
Randi Freedman, Assurance Program Manager
Fax: (301) 594-0042
Email: rfreedman@osophs.dhhs.gov

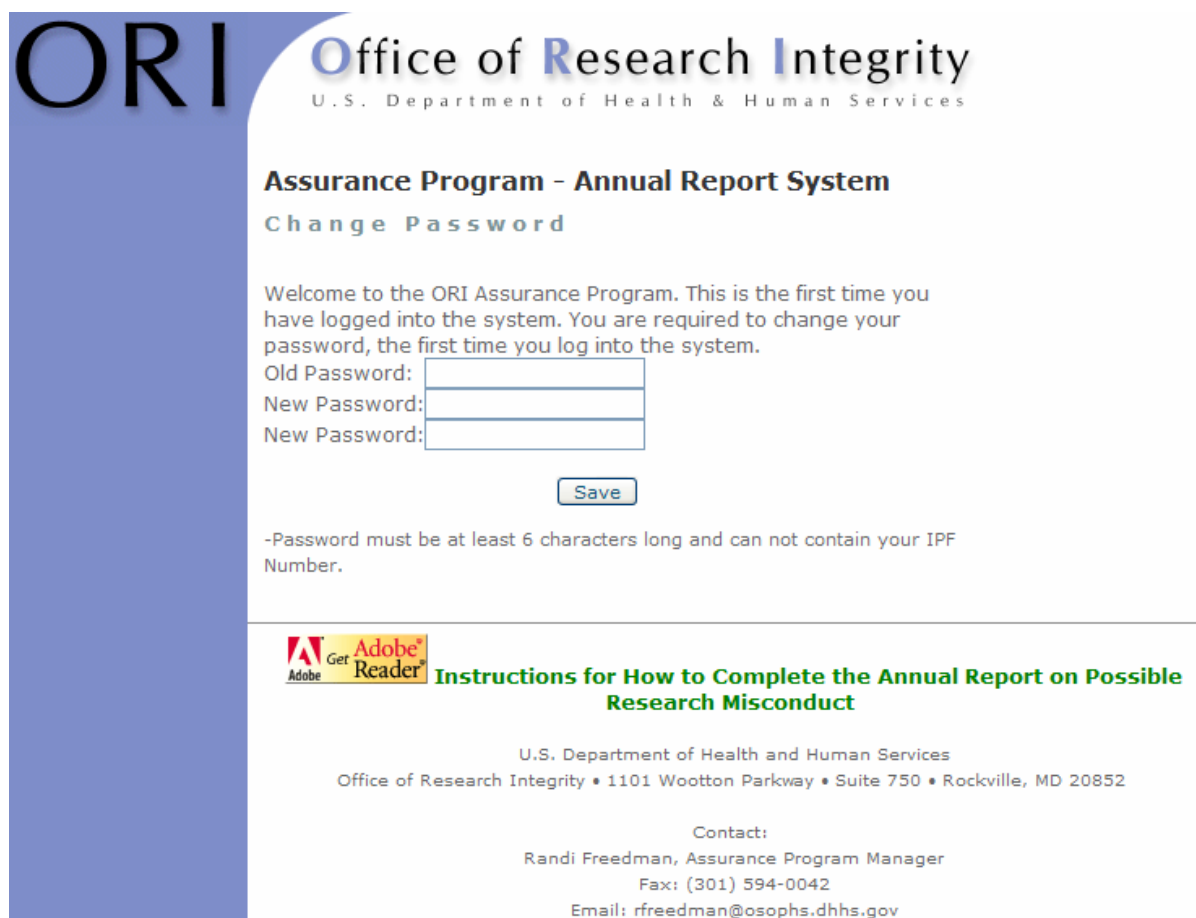
Figure 2

Part 1 ➔ Logging into the Annual Report System

Result: Assurance Program – Annual Report System Password Change screen appears (Figure 3).

If this is the first time logging into the Annual Report System, you will be prompted to change your password. You will not see this screen again the next time you log into the system.

Step 4: Enter a new password. Password must be at least six characters long and can NOT contain your institution's IPF number. Retype your new password to ensure correctness. Select "Save."



The screenshot shows the ORI (Office of Research Integrity) website. The header includes the ORI logo and the text "Office of Research Integrity" and "U.S. Department of Health & Human Services". The main heading is "Assurance Program - Annual Report System" followed by "Change Password". A welcome message states: "Welcome to the ORI Assurance Program. This is the first time you have logged into the system. You are required to change your password, the first time you log into the system." Below this are three input fields: "Old Password:", "New Password:", and "New Password:". A "Save" button is located below the input fields. A note states: "-Password must be at least 6 characters long and can not contain your IPF Number." At the bottom, there is an Adobe Reader logo and a link to "Instructions for How to Complete the Annual Report on Possible Research Misconduct". Contact information for the U.S. Department of Health and Human Services, Office of Research Integrity, is provided, including the address, contact person (Randi Freedman), fax number, and email address.


ORI Office of Research Integrity
U.S. Department of Health & Human Services

Assurance Program - Annual Report System
Change Password

Welcome to the ORI Assurance Program. This is the first time you have logged into the system. You are required to change your password, the first time you log into the system.

Old Password:
New Password:
New Password:

-Password must be at least 6 characters long and can not contain your IPF Number.

 **Instructions for How to Complete the Annual Report on Possible Research Misconduct**

U.S. Department of Health and Human Services
Office of Research Integrity • 1101 Wootton Parkway • Suite 750 • Rockville, MD 20852

Contact:
Randi Freedman, Assurance Program Manager
Fax: (301) 594-0042
Email: rfreedman@osophs.dhhs.gov

Figure 3

Part 1 ➔ Logging into the Annual Report System

Result: Password has been changed notification screen appears (Figure 4).

Step 5: Select "Click here to return to the Annual Report System Home Page."

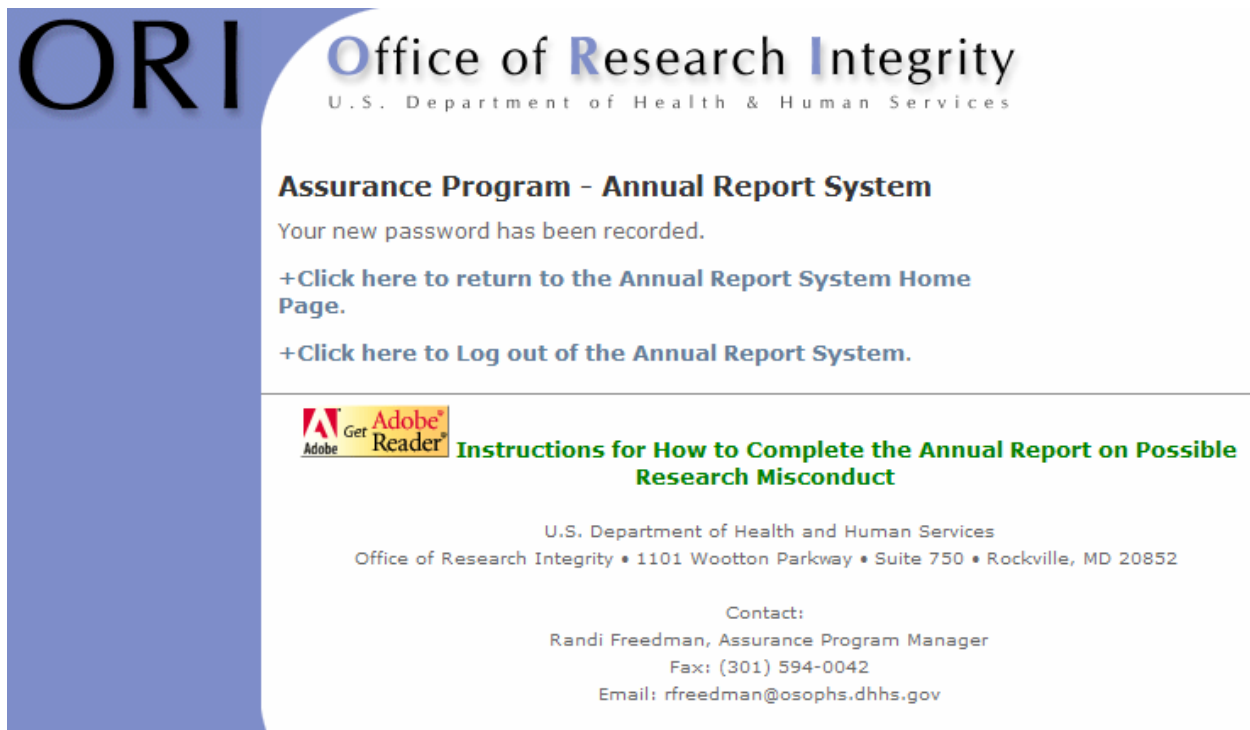


Figure 4

Part 1 ✦ Logging into the Annual Report System

Result: Assurance Program - Annual Report System Home Page (Figure 5).

NOTE: The following four options are available on the home page. (*This handbook will help you navigate through these four options*):

- + Review/Update Institutional Information Section
- + Submit 2005 Annual Report on Possible Research Misconduct Report
- + Manage Password
- + Log out of the Assurance Program website


The screenshot shows the homepage of the Assurance Program - Annual Report System. On the left is a large blue vertical bar with the letters 'ORI' in white. To the right of this bar, the text 'Office of Research Integrity' is displayed in a serif font, with 'Office of' in blue and 'Research Integrity' in black. Below this, in a smaller font, is 'U.S. Department of Health & Human Services'. The main heading 'Assurance Program - Annual Report System' is in bold. Below it, the text 'This system will allow you to:' is followed by a list of four options, each preceded by a blue plus sign: '+Review/Update Institutional Information', '+Submit 2005 Annual Report on Possible Misconduct', '+Manage your Institution's password', and '+Log out of the Annual Report System.'. A horizontal line separates this section from the bottom section. The bottom section features the Adobe Get Reader logo on the left and the text 'Instructions for How to Complete the Annual Report on Possible Research Misconduct' in green. Below this, the address 'U.S. Department of Health and Human Services, Office of Research Integrity • 1101 Wootton Parkway • Suite 750 • Rockville, MD 20852' is listed. At the bottom, contact information for Randi Freedman, Assurance Program Manager, is provided, including her fax number (301) 594-0042 and email address rfreedman@osophs.dhhs.gov.

ORI Office of Research Integrity
U.S. Department of Health & Human Services

Assurance Program - Annual Report System

This system will allow you to:

- +Review/Update Institutional Information
- +Submit 2005 Annual Report on Possible Misconduct
- +Manage your Institution's password
- +Log out of the Annual Report System.

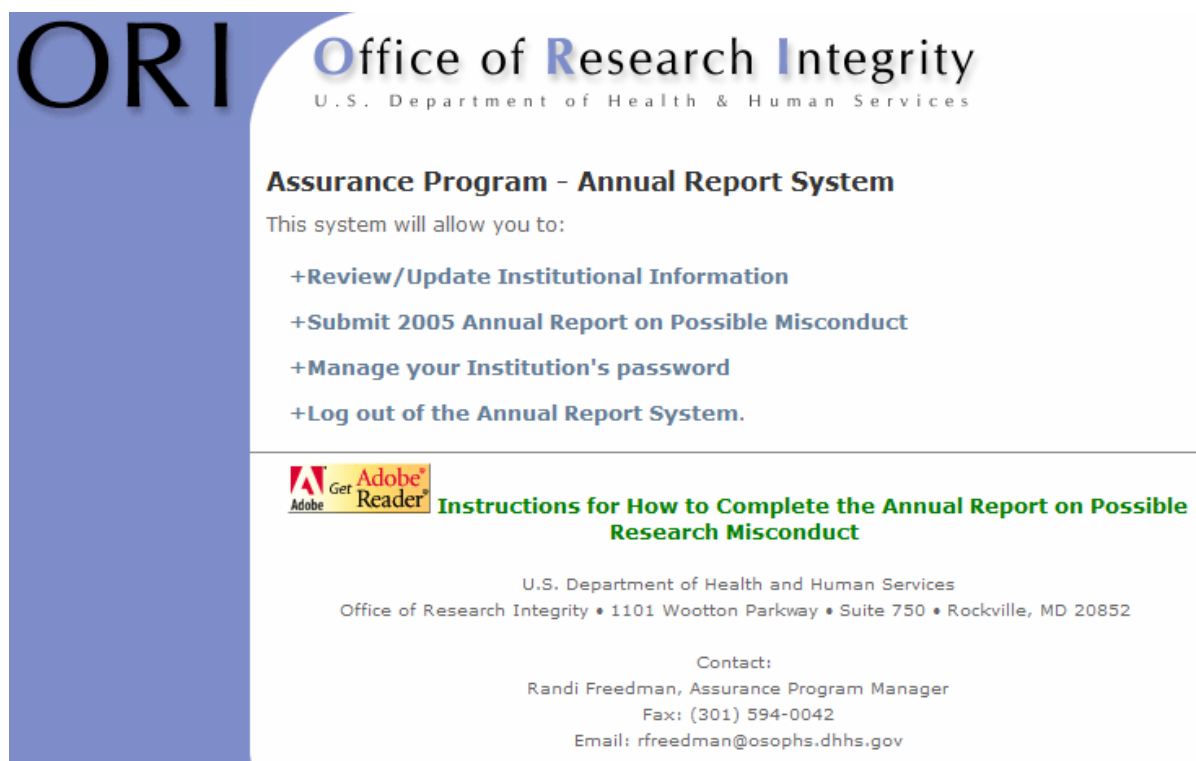
 **Instructions for How to Complete the Annual Report on Possible Research Misconduct**

U.S. Department of Health and Human Services
Office of Research Integrity • 1101 Wootton Parkway • Suite 750 • Rockville, MD 20852

Contact:
Randi Freedman, Assurance Program Manager
Fax: (301) 594-0042
Email: rfreedman@osophs.dhhs.gov

Figure 5

Step 1: From the Assurance Program Home Page (Figure 6) select "Review/Update Institutional Information Section."




The screenshot shows the ORI Assurance Program - Annual Report System interface. On the left is a large blue vertical bar with the letters 'ORI' in white. To the right of this bar, the text 'Office of Research Integrity' is displayed in a large, blue, serif font, with 'U.S. Department of Health & Human Services' in a smaller, black, sans-serif font below it. The main heading is 'Assurance Program - Annual Report System'. Below this, a line of text states 'This system will allow you to:'. A list of four options follows, each preceded by a blue plus sign: '+Review/Update Institutional Information', '+Submit 2005 Annual Report on Possible Misconduct', '+Manage your Institution's password', and '+Log out of the Annual Report System.'. A horizontal line separates this section from the footer. The footer contains the Adobe Reader logo on the left and the text 'Instructions for How to Complete the Annual Report on Possible Research Misconduct' in green on the right. Below this, the contact information for the U.S. Department of Health and Human Services, Office of Research Integrity, is listed, including the address, contact person (Randi Freedman), fax number, and email address.

ORI Office of Research Integrity
U.S. Department of Health & Human Services

Assurance Program - Annual Report System

This system will allow you to:

- +Review/Update Institutional Information
- +Submit 2005 Annual Report on Possible Misconduct
- +Manage your Institution's password
- +Log out of the Annual Report System.

 **Instructions for How to Complete the Annual Report on Possible Research Misconduct**

U.S. Department of Health and Human Services
Office of Research Integrity • 1101 Wootton Parkway • Suite 750 • Rockville, MD 20852

Contact:
Randi Freedman, Assurance Program Manager
Fax: (301) 594-0042
Email: rfreedman@osophs.dhhs.gov

Figure 6

Result: Institutional Information screen (Figure 7)

This screen allows the user to make any changes to their institution's information.

Step 2: If there are no changes to your institution's information select "Approve."

NOTE: If you need to make changes to your institution's information go to **PAGE 11** of this handbook.



ORI Office of Research Integrity
U.S. Department of Health & Human Services

Assurance Program - Annual Report System
Institutional Information

IPF:	99999999
Institution Name:	Test Record
Address:	1101 Wooton Parkway Suite 750
City:	Rockville
State:	MD
Zip:	20852
Country:	USA
Primary Official Name:	Randi Freedman
Primary Official Title:	Assurance Program Manager
Primary Official Phone:	555-555-5555
Primary Official Extension:	
Primary Official Fax:	555-555-5555
Primary Official Email:	rfreedman@osophs.dhhs.gov
Secondary Official Name:	
Secondary Official Title:	
Secondary Official Phone:	
Secondary Official Extension:	
Secondary Official Fax:	
Secondary Official Email:	
Last Updated:	January 7, 2006 6:32:50 PM

[Back](#) [Approve](#) [Edit](#)

Figure 7

Result: Notification screen states that your institution's information has been updated (Figure 8).

Step 3: Select the appropriate option.

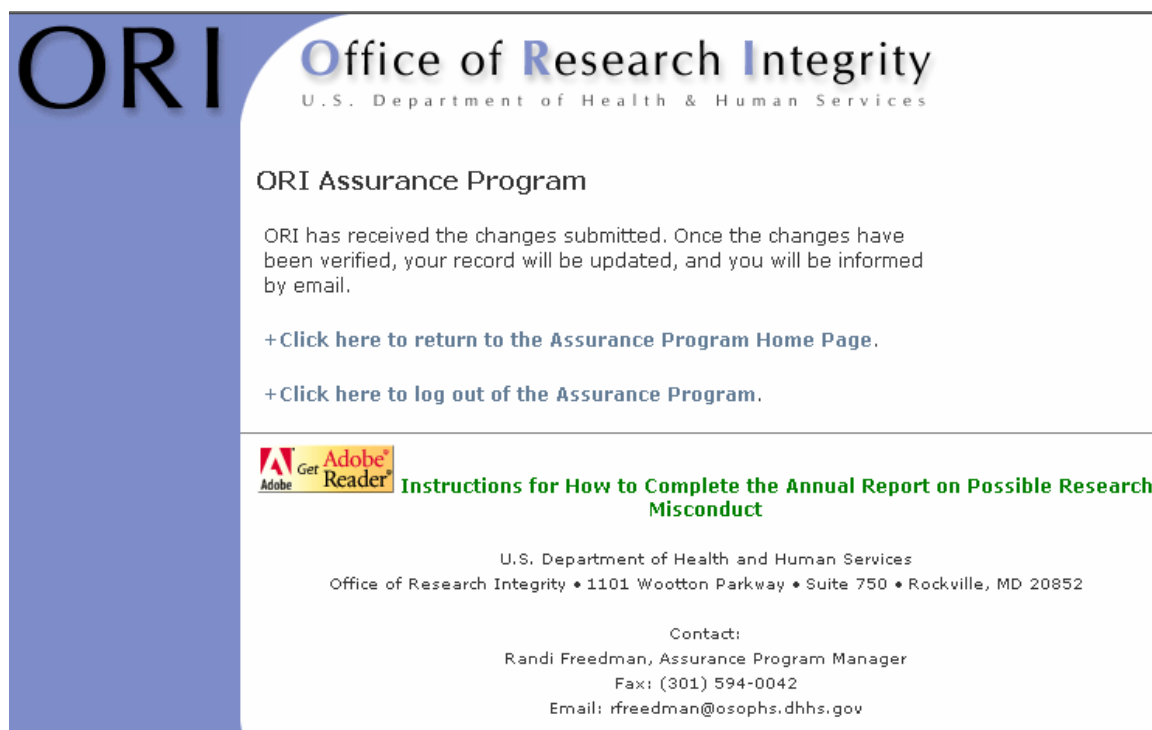
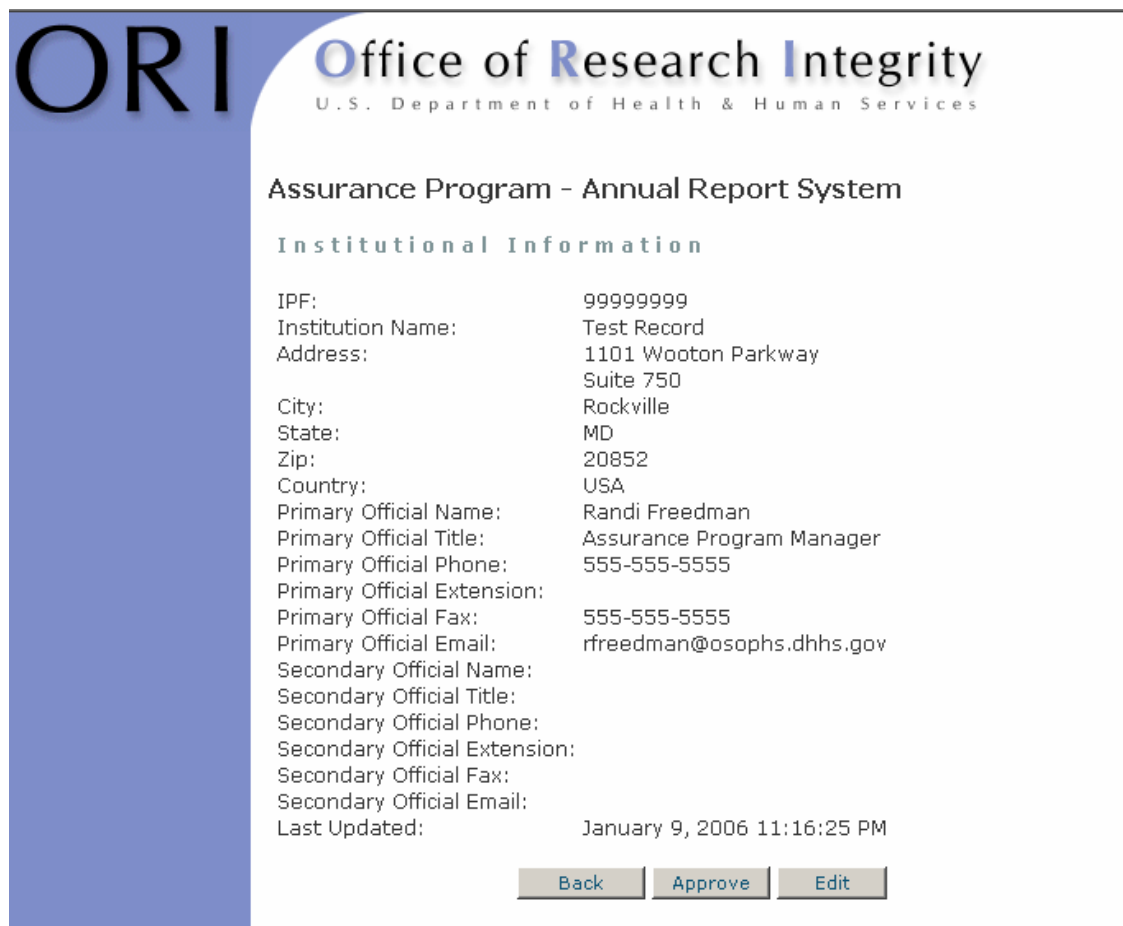


Figure 8

To make changes to your institution's information**Step 1:** Select "Edit."

The screenshot shows the ORI Assurance Program - Annual Report System interface. The header includes the ORI logo and the text "Office of Research Integrity" and "U.S. Department of Health & Human Services". The main heading is "Assurance Program - Annual Report System". Below this is the "Institutional Information" section, which contains a list of fields and their corresponding values. At the bottom right, there are three buttons: "Back", "Approve", and "Edit".

IPF:	99999999
Institution Name:	Test Record
Address:	1101 Wootton Parkway Suite 750
City:	Rockville
State:	MD
Zip:	20852
Country:	USA
Primary Official Name:	Randi Freedman
Primary Official Title:	Assurance Program Manager
Primary Official Phone:	555-555-5555
Primary Official Extension:	
Primary Official Fax:	555-555-5555
Primary Official Email:	rfreedman@osophs.dhhs.gov
Secondary Official Name:	
Secondary Official Title:	
Secondary Official Phone:	
Secondary Official Extension:	
Secondary Official Fax:	
Secondary Official Email:	
Last Updated:	January 9, 2006 11:16:25 PM

[Back](#) [Approve](#) [Edit](#)

Figure 9

Step 2: Make any necessary changes to your institution's record on this screen (Figure 10) and select "Save" to save the updated information.

ORI Office of Research Integrity
U.S. Department of Health & Human Services

Assurance Program - Annual Report System

Edit Institutional Information

IPF:	99999999
Institution Name:	Test Record
Address:	1101 Wooton Parkway
	Suite 750
City:	Rockville
State:	MD
Zip:	20852
Country:	USA
Primary Official Name:	Randi Freedman
Primary Official Title:	Assurance Program Manager
Primary Official Phone:	555-555-5555
Primary Official Extension:	
Primary Official Fax:	555-555-5555
Primary Official Email:	rfreedman@osophs.dhhs.gov
Secondary Official Name:	
Secondary Official Title:	
Secondary Official Phone:	
Secondary Official Extension:	
Secondary Official Fax:	
Secondary Official Email:	
Last Updated:	January 9, 2006 11:16:25 PM

Figure 10

Result: Figure 11

NOTE: An email will be sent to the address on file stating that once your changes have been verified by ORI you will be informed by email.

Step 3: Choose one of the following Options:

- + Click here to return to the Assurance Program Home Page.
- + Click here to log out of the Assurance Program.



The screenshot shows the ORI Assurance Program confirmation page. The header features the ORI logo and the text "Office of Research Integrity" and "U.S. Department of Health & Human Services". The main content area states: "ORI Assurance Program", "ORI has received the changes submitted. Once the changes have been verified, your record will be updated, and you will be informed by email.", and provides two links: "+Click here to return to the Assurance Program Home Page." and "+Click here to log out of the Assurance Program.". Below this is a section for "Instructions for How to Complete the Annual Report on Possible Research Misconduct" with an Adobe Reader icon. The footer contains contact information for the U.S. Department of Health and Human Services, Office of Research Integrity, including the address, contact person (Randi Freedman), fax number, and email address.

ORI Office of Research Integrity
U.S. Department of Health & Human Services

ORI Assurance Program

ORI has received the changes submitted. Once the changes have been verified, your record will be updated, and you will be informed by email.

+Click here to return to the Assurance Program Home Page.

+Click here to log out of the Assurance Program.

 **Instructions for How to Complete the Annual Report on Possible Research Misconduct**

U.S. Department of Health and Human Services
Office of Research Integrity • 1101 Wootton Parkway • Suite 750 • Rockville, MD 20852

Contact:
Randi Freedman, Assurance Program Manager
Fax: (301) 594-0042
Email: rfreedman@osophs.dhhs.gov

Figure 11

Example of an Email received after making changes to an Institution's information (Figure 12).

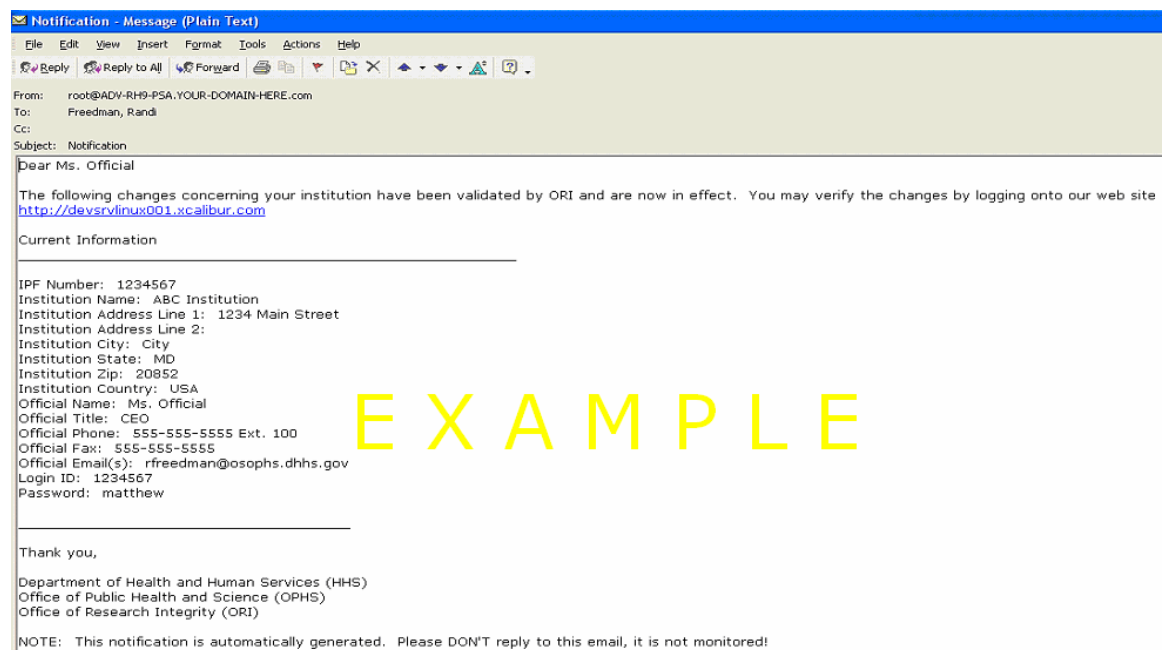
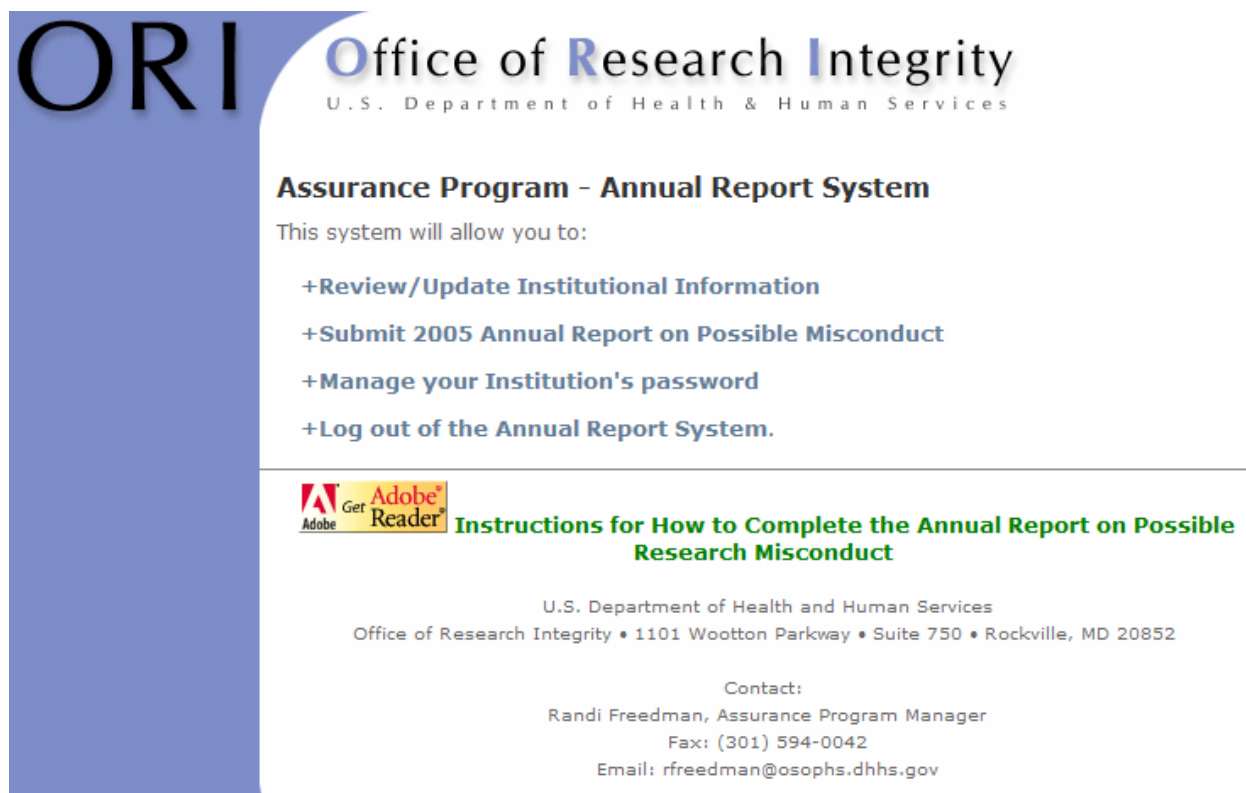


Figure 12

This section allows you to complete your Institution's 2005 Annual Report on Possible Research Misconduct.

Step 1: Select the "Submit 2005 Annual Report on Possible Misconduct" link.




The screenshot displays the ORI (Office of Research Integrity) website. On the left is a large blue vertical bar with the letters "ORI" in white. To the right of this bar, the text "Office of Research Integrity" is displayed in a large, blue, serif font, with "U.S. Department of Health & Human Services" in a smaller, black, sans-serif font below it. The main heading is "Assurance Program - Annual Report System". Below this, it says "This system will allow you to:" followed by a list of four links: "+Review/Update Institutional Information", "+Submit 2005 Annual Report on Possible Misconduct", "+Manage your Institution's password", and "+Log out of the Annual Report System.". A horizontal line separates this section from the bottom part of the page. Below the line, there is an Adobe Reader logo on the left and the text "Instructions for How to Complete the Annual Report on Possible Research Misconduct" in green. Further down, the contact information for the ORI is listed: "U.S. Department of Health and Human Services", "Office of Research Integrity • 1101 Wootton Parkway • Suite 750 • Rockville, MD 20852", "Contact:", "Randi Freedman, Assurance Program Manager", "Fax: (301) 594-0042", and "Email: rfreedman@osophs.dhhs.gov".

ORI Office of Research Integrity
U.S. Department of Health & Human Services

Assurance Program - Annual Report System

This system will allow you to:

- +Review/Update Institutional Information
- +Submit 2005 Annual Report on Possible Misconduct
- +Manage your Institution's password
- +Log out of the Annual Report System.

 **Instructions for How to Complete the Annual Report on Possible Research Misconduct**

U.S. Department of Health and Human Services
Office of Research Integrity • 1101 Wootton Parkway • Suite 750 • Rockville, MD 20852

Contact:
Randi Freedman, Assurance Program Manager
Fax: (301) 594-0042
Email: rfreedman@osophs.dhhs.gov

Figure 13

Part 3 ♦ Submitting the 2005 Annual Report

Step 2: To submit the current year's (2005) Annual Report on Possible Research Misconduct select "Add."

NOTE: If this is your first year filing an Annual Report a message will appear on the screen indicating ORI does not have a current or previous year's Annual Report for your Institution on record.



ORI Office of Research Integrity
U.S. Department of Health & Human Services

Assurance Program - Annual Report System
Annual Report on Possible Research Misconduct

ORI does not have a current or previous year's Annual Report for your Institution on Record.

To submit current year's Annual Report, Click Add.

[Add](#)

[Back](#)

 **Instructions for How to Complete the Annual Report on Possible Research Misconduct**

U.S. Department of Health and Human Services
Office of Research Integrity • 1101 Wootton Parkway • Suite 750 • Rockville, MD 20852

Contact:
Randi Freedman, Assurance Program Manager
Fax: (301) 594-0042
Email: rfreedman@osophs.dhhs.gov

Figure 14

Result: The Confirm Institutional Information screen (Figure 15). This screen allows you to either change or confirm your Institution's information.

Step 3: If you choose to **edit** your Institution's information, select "Edit" and make the changes. Then select "Ok" to save the information and proceed with completing the Annual Report. If **no changes** are necessary, select the "I certify that the institution information shown above is correct and has been verified," select "Ok."

The screenshot shows a web interface for the Office of Research Integrity (ORI), U.S. Department of Health & Human Services. The page is titled "Assurance Program - Annual Report System" and "Confirm Institutional Information". It displays a form with various fields for institutional information, including IPF, Institution Name, Address, City, State, Zip, Country, Primary Official Name, Title, Phone, Extension, Fax, and Email. The information is pre-filled with test data. At the bottom, there is a checkbox for certifying the information is correct, and three buttons: OK, Edit, and Cancel.

IPF:	99999999
Institution Name:	Test Record
Address:	1101 Wooton Parkway Suite 750
City:	Rockville
State:	MD
Zip:	20852
Country:	USA
Primary Official Name:	Randi Freedman
Primary Official Title:	Assurance Program Manager
Primary Official Phone:	555-555-5555
Primary Official Extension:	
Primary Official Fax:	555-555-5555
Primary Official Email:	rfreedman@osophs.dhhs.gov
Secondary Official Name:	
Secondary Official Title:	
Secondary Official Phone:	
Secondary Official Extension:	
Secondary Official Fax:	
Secondary Official Email:	
Last Updated:	January 7, 2006 6:22:59 PM

☐ I certify that the institution information shown above is correct and has been verified.

OK Edit Cancel

Figure 15

Result: Certifying Official's Information screen (Figure 16).

Step 4: Select "Next" to confirm information.

The screenshot shows a web interface for the Office of Research Integrity (ORI). The header includes the ORI logo and the text "Office of Research Integrity" and "U.S. Department of Health & Human Services". The main title is "Assurance Program - Annual Report System" followed by "Certifying Official's Information". Below this is a form with the following fields and values:

Official Name:	Randi Freedman
Official Title:	Assurance Program Manager
Official Phone:	555-555-5555
Official Extension:	
Official Fax:	555-555-5555
Official Email:	rfreedman@osophs.dhhs.gov

Below the form are three buttons: "Back", "Next", and "Cancel". At the bottom of the page, there is an Adobe Reader logo and the text "Instructions for How to Complete the Annual Report on Possible Research Misconduct". The footer includes the address: "U.S. Department of Health and Human Services, Office of Research Integrity • 1101 Wootton Parkway • Suite 750 • Rockville, MD 20852".

Figure 16

Part 3 ♦ Submitting the 2005 Annual Report

Step 5: Select the appropriate responses (Yes or No) to the questions presented.

NOTE: If you selected “**Yes**” for the second question “Has your institution received any allegations or conducted any inquiries or investigations of allegations...,” **go to PAGE 22** of this handbook for instructions on how to complete the 2005 Annual Report on Possible Research Misconduct and begin with **Step 6**.

Step 6: Select “Next” to continue completing the Annual Report.

The screenshot shows the ORI (Office of Research Integrity) Assurance Program - Annual Report System interface. The header includes the ORI logo and the text "Office of Research Integrity" and "U.S. Department of Health & Human Services". The main title is "Assurance Program - Annual Report System" followed by "2005 Annual Report on Possible Research Misconduct".

Each institution which receives or applies for a PHS research, research-training or research-related grant or cooperative agreement must have established an administrative policy for responding to allegations of research misconduct that complies with the PHS regulation (42 CFR Part 93) and certify that it will comply with that policy. This regulation does not cover regulated research under the jurisdiction of the Food and Drug Administration (FDA).

Has your institution established an administrative policy for responding to allegations of research misconduct required by the PHS regulation?

☒ Yes ☐ No

Has your institution received any allegations or conducted any inquiries or investigations of allegations during the reporting period that (1) fall under the PHS definition of research misconduct and (2) involve receipt of or requests for PHS funding or application for PHS funding?

☐ Yes ☒ No

At the bottom, there are three buttons: "Back", "Next", and "Cancel".

Figure 17

Result: 2005 Report on Possible Research Misconduct Confirmation screen (Figure 18).

Step 7: Review the information on this screen and select "Approve."

NOTE: Once you select "Approve," you **cannot** go back and make changes to your report. You can only review the report and print a copy for your records.

The screenshot shows the ORI (Office of Research Integrity) Assurance Program - Annual Report System interface. The header includes the ORI logo and the text "Office of Research Integrity U.S. Department of Health & Human Services". The main title is "Assurance Program - Annual Report System" followed by "2005 Report on Possible Research Misconduct Confirmation". Below this, the "Certifying Official" section lists contact information for Randi Freedman, Assurance Program Manager, including phone, fax, and email. A paragraph explains that institutions receiving PHS research grants must have an administrative policy for research misconduct. Two questions follow: "Has your institution established an administrative policy for responding to allegations of research misconduct required by the PHS regulation?" with a "Yes" link, and "Has your institution received any allegations or conducted any inquiries or investigations of allegations during the reporting period that (1) fall under the PHS definition of research misconduct and (2) involve receipt of or requests for PHS funding or application for PHS funding?" with a "No" link. At the bottom are three buttons: "Back", "Approve", and "Cancel".

ORI Office of Research Integrity
U.S. Department of Health & Human Services

Assurance Program - Annual Report System
2005 Report on Possible Research Misconduct Confirmation

Certifying Official
Name: Randi Freedman **Title:** Assurance Program Manager
Phone: 555-555-5555 **Ext:**
Fax: 555-555-5555
Email: rfreedman@osophs.dhhs.gov

Each institution which receives or applies for a PHS research, research-training or research-related grant or cooperative agreement must have established an administrative policy for responding to allegations of research misconduct that complies with the PHS regulation (42 CFR Part 50, Subpart A) and certify that it will comply with that policy. This regulation does not cover regulated research under the jurisdiction of the Food and Drug Administration (FDA).

Has your institution established an administrative policy for responding to allegations of research misconduct required by the PHS regulation?
[Yes](#)

Has your institution received any allegations or conducted any inquiries or investigations of allegations during the reporting period that (1) fall under the PHS definition of research misconduct and (2) involve receipt of or requests for PHS funding or application for PHS funding?
[No](#)

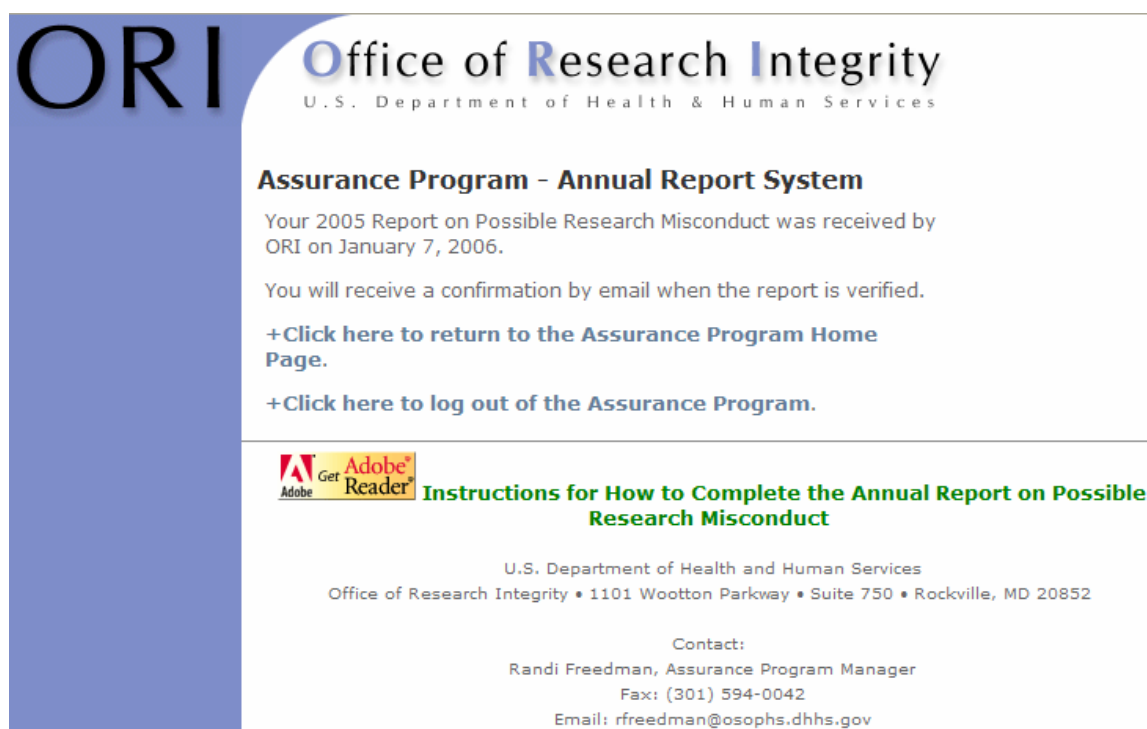
Figure 18

Part 3 ♦ Submitting the 2005 Annual Report

Result: Confirmation screen that your institutions completed 2005 Annual Report on Possible Research Misconduct has been received by ORI.

Step 8: Select either log off the system or return to the Assurance Program Home Page.

NOTE: If you wish to print a copy of your institutions 2005 Annual Report, select “Click here to return to the Assurance Program Home Page.” For instructions on how to print out your report, see **PAGE 26** of this handbook



The screenshot shows the ORI (Office of Research Integrity) website. The header features the ORI logo and the text "Office of Research Integrity" and "U.S. Department of Health & Human Services". The main heading is "Assurance Program - Annual Report System". Below this, it states: "Your 2005 Report on Possible Research Misconduct was received by ORI on January 7, 2006." and "You will receive a confirmation by email when the report is verified." There are two links: "+Click here to return to the Assurance Program Home Page." and "+Click here to log out of the Assurance Program." Below these links is an Adobe Reader logo and the text "Instructions for How to Complete the Annual Report on Possible Research Misconduct". At the bottom, contact information is provided: "U.S. Department of Health and Human Services", "Office of Research Integrity • 1101 Wootton Parkway • Suite 750 • Rockville, MD 20852", "Contact: Randi Freedman, Assurance Program Manager", "Fax: (301) 594-0042", and "Email: rfreedman@osophs.dhhs.gov".

ORI Office of Research Integrity
U.S. Department of Health & Human Services


Assurance Program - Annual Report System

Your 2005 Report on Possible Research Misconduct was received by ORI on January 7, 2006.

You will receive a confirmation by email when the report is verified.

[+Click here to return to the Assurance Program Home Page.](#)

[+Click here to log out of the Assurance Program.](#)

 **Instructions for How to Complete the Annual Report on Possible Research Misconduct**

U.S. Department of Health and Human Services
Office of Research Integrity • 1101 Wootton Parkway • Suite 750 • Rockville, MD 20852

Contact:
Randi Freedman, Assurance Program Manager
Fax: (301) 594-0042
Email: rfreedman@osophs.dhhs.gov

Figure 19

If you select **“Yes”** indicating your institution has received allegations or conducted any inquiries or investigations of allegations during the reporting period

Step 6: Select “Next” to proceed to the next screen.

The screenshot shows the ORI Office of Research Integrity logo at the top left, with the text "Office of Research Integrity" and "U.S. Department of Health & Human Services" to its right. Below the logo, the title "Assurance Program - Annual Report System" is displayed, followed by "2005 Annual Report on Possible Research Misconduct". A paragraph explains that institutions receiving or applying for PHS research must have an administrative policy for responding to allegations of research misconduct. Below this, two questions are posed with radio button options for "Yes" and "No". The first question asks if an administrative policy has been established, with the "No" option selected. The second question asks if the institution has received any allegations or conducted any inquiries or investigations during the reporting period, with the "Yes" option selected. At the bottom, there are three buttons: "Back", "Next", and "Cancel".

ORI Office of Research Integrity
U.S. Department of Health & Human Services

Assurance Program - Annual Report System
2005 Annual Report on Possible Research Misconduct

Each institution which receives or applies for a PHS research, research-training or research-related grant or cooperative agreement must have established an administrative policy for responding to allegations of research misconduct that complies with the PHS regulation (42 CFR Part 93) and certify that it will comply with that policy. This regulation does not cover regulated research under the jurisdiction of the Food and Drug Administration (FDA).

Has your institution established an administrative policy for responding to allegations of research misconduct required by the PHS regulation?

☐ Yes ☒ No

Has your institution received any allegations or conducted any inquiries or investigations of allegations during the reporting period that (1) fall under the PHS definition of research misconduct and (2) involve receipt of or requests for PHS funding or application for PHS funding?

☒ Yes ☐ No

Figure 20

Step 7: Select the appropriate boxes and select "Next."

ORI

Office of Research Integrity
U.S. Department of Health & Human Services

Assurance Program - Annual Report System

Allegations

Please provide the requested information for each incident of alleged misconduct that involved a request for or receipt of PHS funds that fell within the PHS definition of research misconduct. Please note that, in accordance with section 50.103(d)(4), all investigations are to be reported to the Office of Research Integrity (ORI) before or immediately upon commencement of the investigation.

PLEASE NOTE: For each incident of alleged research misconduct resulting in an allegation, inquiry, and/or investigation at your institution: (1) provide the ORI case number, if assigned; (2) check the type of activity (allegation, inquiry, and/or investigation - may include more than one activity type for each reported incident); and (3) check the type of misconduct involved with each activity (may include more than one type of misconduct). Attach a separate sheet if additional space or clarification is required.

Do NOT include any alleged fiscal misconduct, human or animal subject abuses, conflicts of interest, or violations of FDA regulated research.

1. Activity continued into 2005:

Incident Number	ORI Case Number, if assigned	Type of Activity	Type of Misconduct			
			Fabrication	Falsification	Plagiarism	Other Serious Deviations
1.	2004-1234	<input checked="" type="checkbox"/> Inquiry	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/> Investigation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.		<input type="checkbox"/> Inquiry	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/> Investigation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.		<input type="checkbox"/> Inquiry	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/> Investigation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

2. Activity begun in 2005:

Incident Number	ORI Case Number, if assigned	Type of Activity	Type of Misconduct			
			Fabrication	Falsification	Plagiarism	Other Serious Deviations
1.	2004-5678	<input checked="" type="checkbox"/> Allegation	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
		<input checked="" type="checkbox"/> Inquiry	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
		<input checked="" type="checkbox"/> Investigation	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
2.		<input type="checkbox"/> Allegation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/> Inquiry	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/> Investigation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.		<input type="checkbox"/> Allegation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/> Inquiry	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/> Investigation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Back
Next
Cancel

Figure 20

Result: 2005 Annual Report on Possible Research Misconduct confirmation screen (Figure 22).

Step 8: Select “Approve” to proceed to the next screen (if you need to make any changes select “Back”).

ORI

Office of Research Integrity

U.S. Department of Health & Human Services

Assurance Program - Annual Report System

2005 Report on Possible Research Misconduct Confirmation

Certifying Official

Name: Randi Freedman Title: Assurance Program Manager

Phone: 555-555-5555 Ext:

Fax: 555-555-5555

Email: rfreedman@osophs.dhhs.gov

Each institution which receives or applies for a PHS research, research-training or research-related grant or cooperative agreement must have established an administrative policy for responding to allegations of research misconduct that complies with the PHS regulation (42 CFR Part 50, Subpart A) and certify that it will comply with that policy. This regulation does not cover regulated research under the jurisdiction of the Food and Drug Administration (FDA).

Has your institution established an administrative policy for responding to allegations of research misconduct required by the PHS regulation?

No

Has your institution received any allegations or conducted any inquiries or investigations of allegations during the reporting period that (1) fall under the PHS definition of research misconduct and (2) involve receipt of or requests for PHS funding or application for PHS funding?

Yes

Please provide the requested information for each incident of alleged misconduct that involved a request for or receipt of PHS funds that fell within the PHS definition of research misconduct. Please note that, in accordance with section 50.103(d)(4), all investigations are to be reported the Office of Research Integrity (ORI) before or immediately upon commencement of the investigation.

PLEASE NOTE: For each incident of alleged research misconduct resulting in an allegation, inquiry, and/or investigation at your institution: (1) provide the ORI case number, if assigned; (2) check the type of activity (allegation, inquiry, and/or investigation - may include more than one activity type for each reported incident); and (3) check the type of misconduct involved with each activity (may include more than one type of misconduct). Attach a separate sheet if additional space or clarification is required.

Do NOT include any alleged fiscal misconduct, human or animal subject abuses, conflicts of interest, or violations of FDA regulated research.

1. Activity continued into 2005:

Incident Number	ORI Case Number, if assigned	Type of Activity	Type of Misconduct			
			Fabrication	Falsification	Plagiarism	Other Serious Deviations
1.	2004-1234	X Inquiry		X		
2.						
3.						

2. Activity continued into 2005:

Incident Number	ORI Case Number, if assigned	Type of Activity	Type of Misconduct			
			Fabrication	Falsification	Plagiarism	Other Serious Deviations
1.	2004-5678	X Allegation	X	X	X	
		X Inquiry	X	X	X	
		X Investigation	X	X	X	
2.						
3.						

Back

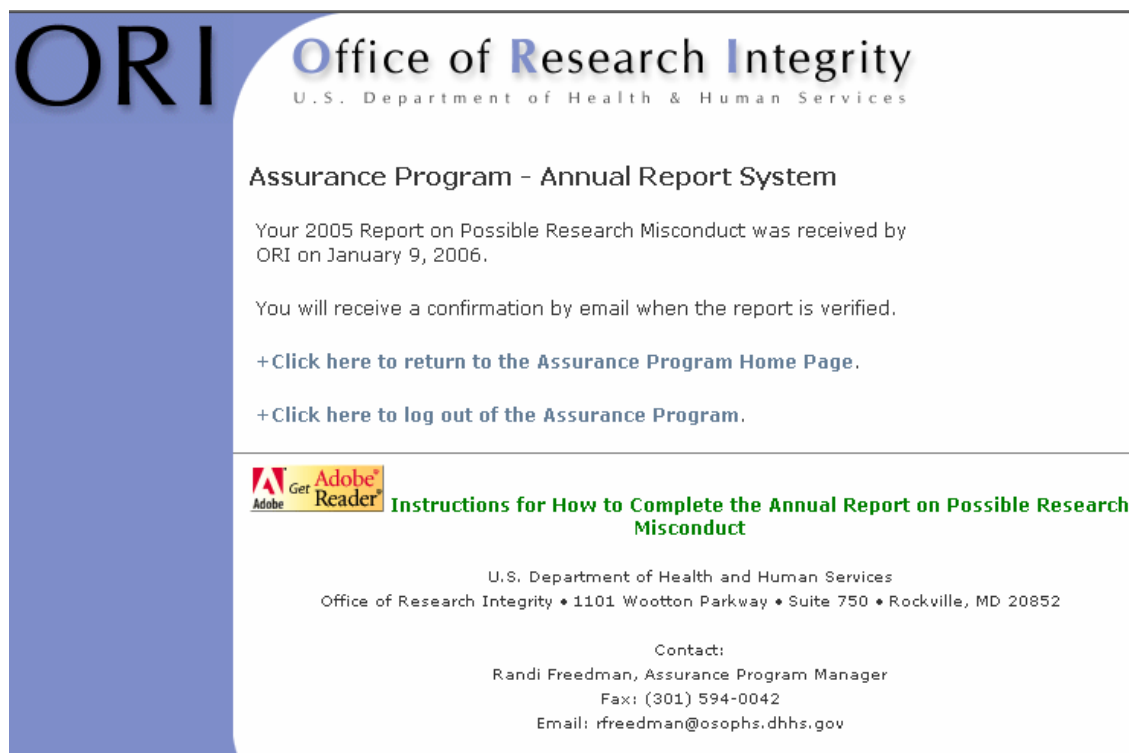
Approve

Cancel

Figure 22

Result: Your Institution's 2005 Annual Report on Possible Research Misconduct has been submitted to ORI.

Step 9: Select "Click here to return to the Assurance Program Home Page" to print a copy of your 2005 Annual Report for your records.



The screenshot shows the ORI Assurance Program - Annual Report System webpage. The header features the ORI logo and the text "Office of Research Integrity" and "U.S. Department of Health & Human Services". The main content area is titled "Assurance Program - Annual Report System" and contains the following text: "Your 2005 Report on Possible Research Misconduct was received by ORI on January 9, 2006." and "You will receive a confirmation by email when the report is verified." Below this are two links: "+Click here to return to the Assurance Program Home Page." and "+Click here to log out of the Assurance Program." At the bottom, there is a section for "Instructions for How to Complete the Annual Report on Possible Research Misconduct" with a link to a PDF document. The footer contains contact information for the U.S. Department of Health and Human Services, Office of Research Integrity, including the address, contact person (Randi Freedman), phone, fax, and email.

ORI Office of Research Integrity
U.S. Department of Health & Human Services


Assurance Program - Annual Report System

Your 2005 Report on Possible Research Misconduct was received by ORI on January 9, 2006.

You will receive a confirmation by email when the report is verified.

[+Click here to return to the Assurance Program Home Page.](#)

[+Click here to log out of the Assurance Program.](#)

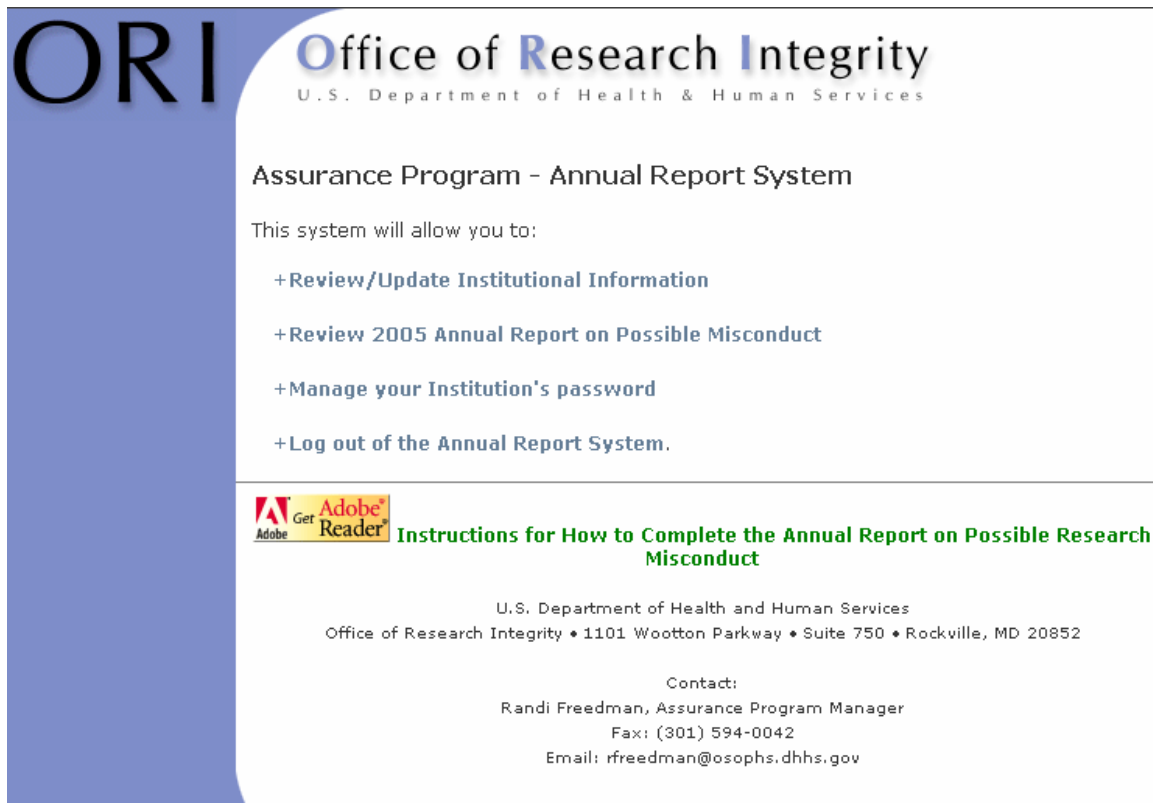
 [Instructions for How to Complete the Annual Report on Possible Research Misconduct](#)

U.S. Department of Health and Human Services
Office of Research Integrity • 1101 Wootton Parkway • Suite 750 • Rockville, MD 20852

Contact:
Randi Freedman, Assurance Program Manager
Fax: (301) 594-0042
Email: rfreedman@osophs.dhhs.gov

Figure 23

Step 1: Select "Review 2005 Annual Report on Possible Misconduct."




The screenshot shows the ORI Assurance Program - Annual Report System interface. On the left is a large blue vertical bar with the letters "ORI" in white. To the right, the text "Office of Research Integrity" is displayed in a serif font, with "Office of" in blue and "Research Integrity" in black. Below this, in a smaller font, is "U.S. Department of Health & Human Services". The main heading is "Assurance Program - Annual Report System". Below this, a line of text says "This system will allow you to:". A list of four options follows, each preceded by a blue plus sign: "+Review/Update Institutional Information", "+Review 2005 Annual Report on Possible Misconduct", "+Manage your Institution's password", and "+Log out of the Annual Report System.". A horizontal line separates this section from the footer. In the footer, on the left, is the Adobe Reader logo. To its right, the text "Instructions for How to Complete the Annual Report on Possible Research Misconduct" is written in green. Below this, in black text, is the address: "U.S. Department of Health and Human Services", "Office of Research Integrity ♦ 1101 Wootton Parkway ♦ Suite 750 ♦ Rockville, MD 20852". Further down, under the heading "Contact:", is the name "Randi Freedman, Assurance Program Manager", followed by "Fax: (301) 594-0042" and "Email: rfreedman@osophs.dhhs.gov".

ORI Office of Research Integrity
U.S. Department of Health & Human Services

Assurance Program - Annual Report System

This system will allow you to:

- +Review/Update Institutional Information
- +Review 2005 Annual Report on Possible Misconduct
- +Manage your Institution's password
- +Log out of the Annual Report System.


 **Instructions for How to Complete the Annual Report on Possible Research Misconduct**

U.S. Department of Health and Human Services
Office of Research Integrity ♦ 1101 Wootton Parkway ♦ Suite 750 ♦ Rockville, MD 20852

Contact:
Randi Freedman, Assurance Program Manager
Fax: (301) 594-0042
Email: rfreedman@osophs.dhhs.gov

Figure 24

Step 2: Select "2005 Report."



Office of Research Integrity


U.S. Department of Health & Human Services

Assurance Program - Annual Report System

Annual Report on Possible Research Misconduct

Review Annual Reports:
[+ 2005 Report](#)

[Back](#)



Instructions for How to Complete the Annual Report on Possible Research Misconduct

U.S. Department of Health and Human Services
Office of Research Integrity • 1101 Wootton Parkway • Suite 750 • Rockville, MD 20852

Contact:
Randi Freedman, Assurance Program Manager
Fax: (301) 594-0042
Email: rfreedman@osophs.dhhs.gov

Step 3: Select "Print View" to print a copy of your Annual Report. From your browser's window, select "File" then "Print."

ORI

Office of Research Integrity
U.S. Department of Health & Human Services

Assurance Program - Annual Report System

2005 Report on Possible Research Misconduct

Certifying Official
Name: Randi Freedman **Title:** Assurance Program Manager
Phone: 555-555-5555 **Ext:**
Fax: 555-555-5555
Email: rfreedman@osophs.dhhs.gov

Each institution which receives or applies for a PHS research, research-training or research-related grant or cooperative agreement must have established an administrative policy for responding to allegations of research misconduct that complies with the PHS regulation (42 CFR Part 50, Subpart A) and certify that it will comply with that policy. This regulation does not cover regulated research under the jurisdiction of the Food and Drug Administration (FDA).

Has your institution established an administrative policy for responding to allegations of research misconduct required by the PHS regulation?

No

Has your institution received any allegations or conducted any inquiries or investigations of allegations during the reporting period that (1) fall under the PHS definition of research misconduct and (2) involve receipt of or requests for PHS funding or application for PHS funding?

Yes

Please provide the requested information for each incident of alleged misconduct that involved a request for or receipt of PHS funds that fell within the PHS definition of research misconduct. Please note that, in accordance with section 50.103(d)(4), all investigations are to be reported to the Office of Research Integrity (ORI) before or immediately upon commencement of the investigation.

PLEASE NOTE: For each incident of alleged research misconduct resulting in an allegation, inquiry, and/or investigation at your institution: (1) provide the ORI case number, if assigned; (2) check the type of activity (allegation, inquiry, and/or investigation - may include more than one activity type for each reported incident); and (3) check the type of misconduct involved with each activity (may include more than one type of misconduct). Attach a separate sheet if additional space or clarification is required.

Do **NOT** include any alleged fiscal misconduct, human or animal subject abuses, conflicts of interest, or violations of FDA regulated research.

1. Activity continued into 2004:

Incident Number	ORI Case Number, if assigned	Type of Activity	Type of Misconduct			
			Fabrication	Falsification	Plagiarism	Other Serious Deviations
1.	2003-1234	Inquiry		X		
		Investigation				
2.		Inquiry				
		Investigation				
3.		Inquiry				
		Investigation				

2. Activity begun in 2004:

Incident Number	ORI Case Number, if assigned	Type of Activity	Type of Misconduct			
			Fabrication	Falsification	Plagiarism	Other Serious Deviations
1.	2004-5678	Allegation	X	X	X	
		Inquiry	X	X	X	
		Investigation	X	X	X	
2.		Allegation				
		Inquiry				
		Investigation				
3.		Allegation				
		Inquiry				
		Investigation				

Back
Print View

Figure 26

Part 5 ➔ What to Do if you Forget the User ID and/or Password.

Step 1: If you have forgotten your User ID and/or password, select the “**Click here to get your User ID and Password**” link (circled in red).

ORI Office of Research Integrity
U.S. Department of Health & Human Services

HOME — ABOUT ORI — SEARCH — PRIVACY — FOIA — CONTACT ORI —

Assurance Program - Annual Report System


[Click Here for Instructions on How to Navigate the ORI Annual Report System Handbook -- PDF](#)

User ID:
Password:

Login

Forgot your User ID or Password? [+Click here to get your User ID and Password](#)

[Return to the Assurance Program page](#)



U.S. Department of Health and Human Services
Office of Research Integrity • 1101 Wootton Parkway • Suite 750 • Rockville, MD 20852

Contact:
Randi Freedman, Assurance Program Manager
Fax: (301) 594-0042
Email: rfreedman@osophs.dhhs.gov

Part 5 ✦ What to Do if you Forget the User ID and/or Password.

You will be prompted at this screen (Figure 28) to enter in your IPF number, email address and Institution Name.

Step 2: Enter as much information as you can remember.

Step 3: Select “**Get Login.**” (An email will be automatically generated to the user’s email address on file with ORI.)

ORI Office of Research Integrity
U.S. Department of Health & Human Services

ORI Assurance Program

If you are a registered user of the ORI Assurance Program, but have forgotten your User ID and/or Password, you can enter any of the following information to have your login information emailed to the registered official email address(s).

IPF:

Official Email Address:

Institution Name:

 **Instructions for How to Complete the Annual Report on Possible Research Misconduct**

U.S. Department of Health and Human Services
Office of Research Integrity • 1101 Wootton Parkway • Suite 750 • Rockville, MD 20852

Contact:
Randi Freedman, Assurance Program Manager
Fax: (301) 594-0042
Email: rfreedman@osophs.dhhs.gov

Figure 28

Part 5 ✦ What to Do if you Forget the User ID and/or Password.

Result: Password notification change screen (Figure 29) indicating an email has been sent to the email address ORI has on file for your institution.



Figure 29

Part 5 ➔ What to Do if you Forget the User ID and/or Password.

Example of an email that is automatically generated to the user's email address on file with ORI (Figure 30).

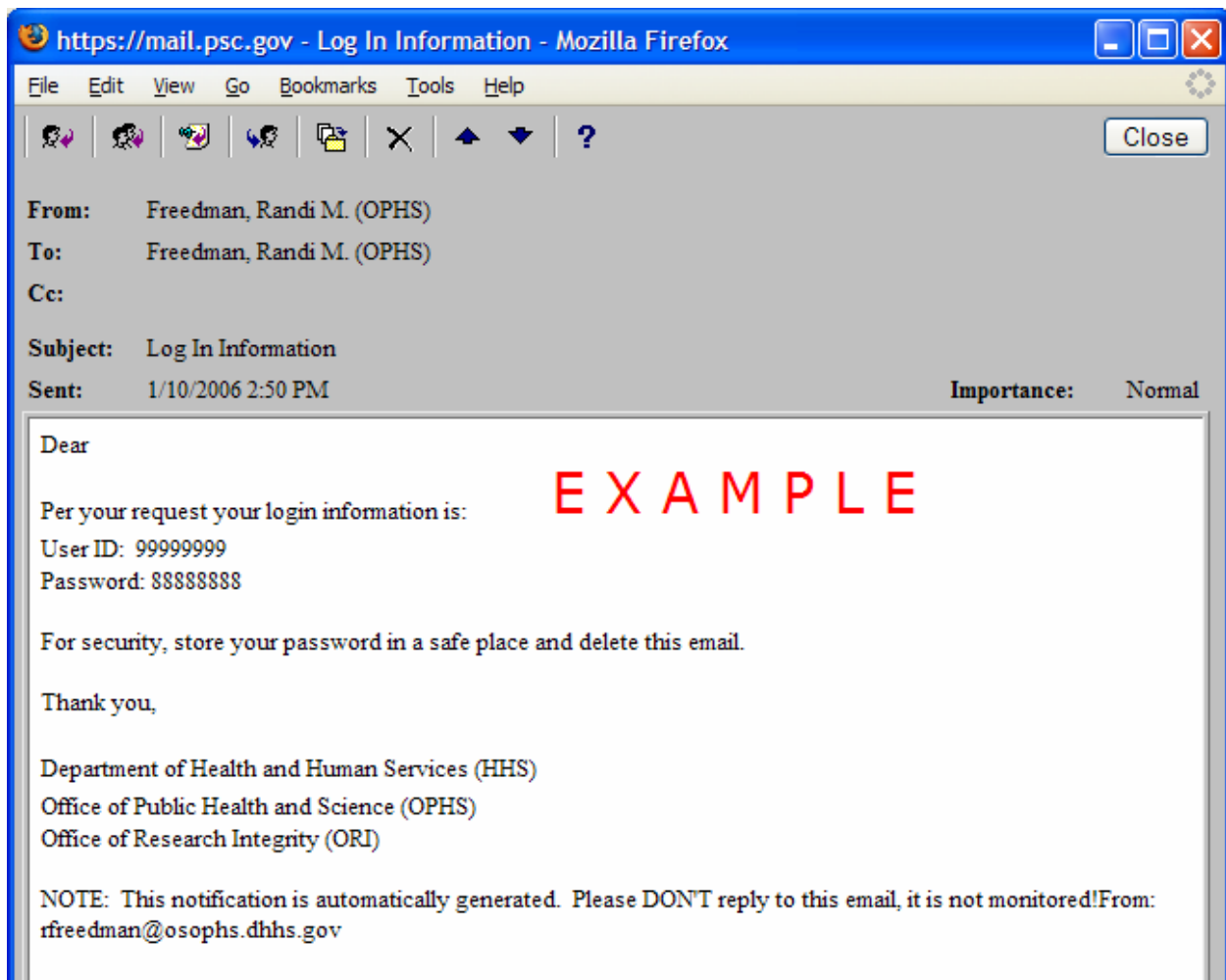


Figure 30

Select either:

- + Click here to go to the ORI website, or
- + Click here to return to Login Screen

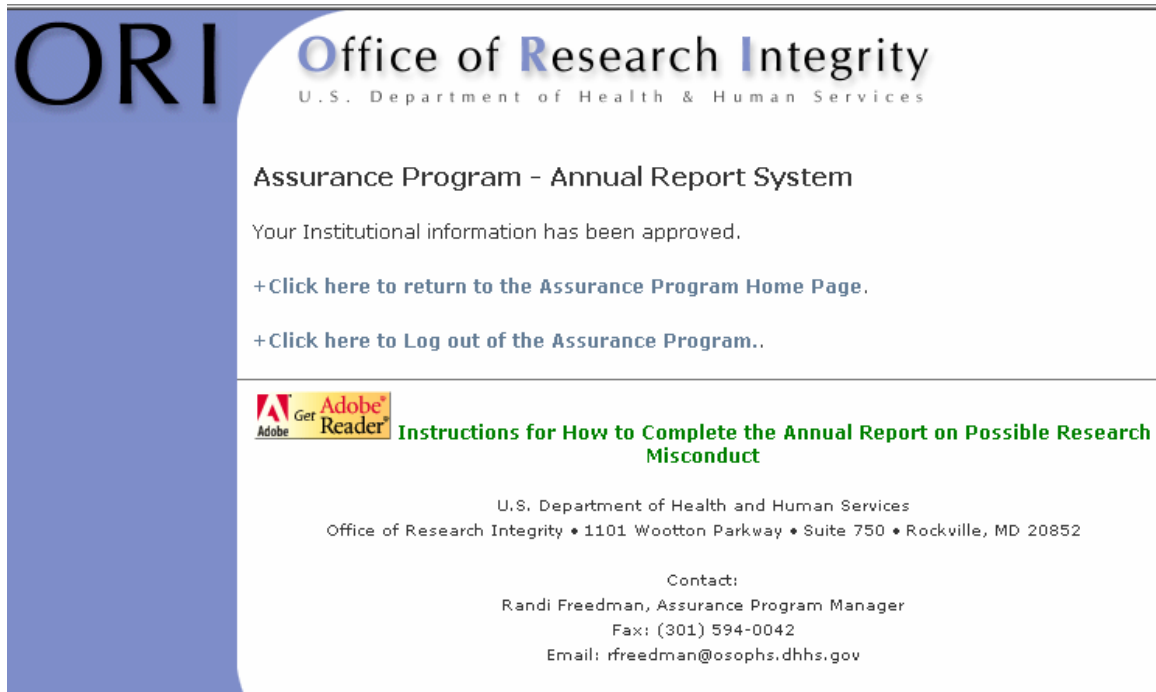


Figure 31